IAPD Report

Leslie Charles Smith

CRD# 1803943

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

Leslie Charles Smith (CRD# 1803943)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	AVANTAX ADVISORY SERVICES	104556	SYRACUSE, NY	08/28/2021 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Syracuse, NY	06/20/2017 - 09/05/2025
B	CADARET, GRANT & CO., INC.	10641	CANASTOTA, NY	05/19/2004 - 06/08/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	1
Judgment/Lien	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
421 S. Warren Street
St. 201
Syracuse, NY 13202

CETERA ADVISOR NETWORKS LLC
SYRACUSE, NY

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

Qualifications

SYRACUSE, NY

CETERA INVESTMENT ADVISERS LLC
421 S. WARREN STREET
ST 201
SYRACUSE, NY 13202

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/18/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/20/1988

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/03/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

User Guidance

www.adviserinfo.sec.gov

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/28/2021 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	SYRACUSE, NY
B	06/20/2017 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Syracuse, NY
B	05/19/2004 - 06/08/2017	CADARET, GRANT & CO., INC.	CRD# 10641	CANASTOTA, NY
B	01/16/1998 - 05/24/2004	FIRST SECURITY INVESTMENTS, INC.	CRD# 24035	KINGSTON, PA
B	01/27/1994 - 06/17/1997	CADARET, GRANT & CO., INC.	CRD# 10641	SYRACUSE, NY
B	01/26/1993 - 09/27/1993	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	05/15/1991 - 12/21/1992	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	08/23/1988 - 02/01/1989	INVESTORS CENTER, INC.	CRD# 14670	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Syracuse, NY, United States
12/2022 - Present	Avalon	Fulfillment	N	Syracuse, NY, United States
08/2017 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Syracuse, NY, United States
06/2017 - 09/2025	Avantax Insurance Services, LLC	Insurance Agent	Y	Syracuse, NY, United States
06/2017 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Syracuse, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2004 - 06/2017	CADARET, GRANT & CO., INC.	Registered Representative	Y	CANASTOTA, NY, United States
05/2004 - 06/2017	SECURITIES & INVESTMENT ADVISORS, INC.	Financial Advisor	Y	CANASTOTA, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) AVALON
POSITION: Fulfillment NATURE: Company provides printing services to the Legal and Medical Field. Also provides Cyber Security and document management services. INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 20 START DATE: 12/19/2022
ADDRESS: 901 North State Street, St. 301, Syracuse NY 13208, United States
DESCRIPTION: Role includes processing legal and medical records by request for subsequent delivery. It is not a sales position and does not require contact with individuals in any commercial/personal capacity.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	1
Judgment/Lien	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	POLICE DEPARTMENT, NEW YORK, NY DOCKET #91KOO1570
Charge Date:	01/08/1991
Charge Details:	CRIMINAL SALE NARCOTIC DRUG
Felony?	Yes
Current Status:	Final
Status Date:	03/20/1991
Disposition Details:	SENTENCED & CONVICTED OF CLASS A MISDEMEANOR & 3 YEARS PROBATION.
Broker Statement	NOT PROVIDED

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	CHATFIELD DEAN & CO., INC.
Allegations:	OTHER
Product Type:	
Alleged Damages:	$417.50

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #94-00100
Date Notice/Process Served:	01/14/1994
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	10/31/1994
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $417.50 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $30.00 JOINTLY AND SEVERALLY

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHATFIELD DEAN & CO., INC.
Allegations:	CLAIMANT CHARGED THAT SELL-OUT RECOVERY OF $417.50 FROM HIS ACCOUNT DUE TO NON -PAYMENT OF AGREED UPON TRADE WAS NOT HIS RESPONSIBILITY
Product Type:	Equity - OTC
Alleged Damages:	$417.50

Customer Complaint Information

Date Complaint Received:	01/14/1994
Complaint Pending?	No
Status:	Arbitration/Reparation

Status Date:	10/31/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-00100
Date Notice/Process Served:	01/14/1994
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/31/1994
Monetary Compensation Amount:	$417.50
Individual Contribution Amount:	
Broker Statement	PAYMENT TO CLAIMANT OF $417.50 PAID IN FULL BY CHATFIELD DEAN AND CO CLAIMANT AGREED TO BUY STOCK OF COMPANY WHICH WOULD HAVE BEEN AN ADDITIONAL PU RCHASE AND FAILED TO PAY. THIS FAILURE TO REMIT FUNDS RESULTED IN A "SELL-OUT " LOSS TO FIRM AND MYSELF OF 417.50 WHICH WAS LEGALLY OBTAINED FROM CLAIMANTS STOCK POSITIONS. CLAIMANTS INITIAL COMPLAINT TO NASD CONCERNING THIS MATTER R ESULTED IN A "NO ACTIONS WARRANTED" AGAINST MYSELF OR FIRM. CLAIMANTS SECOND COMPLAINT RESULTED IN AWARD. I MAINTAIN NO WRONGDOING ON MY, OR CHATFIELD DEA NS BEHALF.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$36,444.18
Judgment/Lien Type:	Tax
Date Filed with Court:	09/19/2024
Date Individual Learned:	10/03/2024
Type of Court:	County Court
Name of Court:	Onondaga County Court
Location of Court:	Syracuse, NY
Docket/Case #:	501002124
Judgment/Lien Outstanding?	Yes

End of Report

This page is intentionally left blank.

